

**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

APPLICANT: Steven M.H. Wallman

SERIAL NO.: 10/627,626

FILING DATE: July 28, 2003

EXAMINER: Mr. Daniel Lawson Greene

ART UNIT: 3694

TITLE: METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR  
SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A  
PORTFOLIO OF SECURITIES . . .

ATTY. DOCKET: 10392/460043

Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO OFFICE ACTION**

Sir:

In response to the Office action mailed on April 2, 2009, Applicant respectfully requests  
reconsideration of the application in light of the following amendments and remarks:

**Amendments to the Claims** begin on page 2 of this paper.

**Remarks** begin on page 3 of this paper.